

NIH POLICY MANUAL

54515 - GUIDELINES FOR DUALY ASSIGNED GRANT APPLICATIONS

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1. Explanation of Material Transmitted: This chapter states the procedures for processing grant and cooperative agreement applications which may be assigned to two NIH Institutes or Centers.
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A. Purpose

This chapter states the procedures for processing grant and cooperative agreement applications which may be assigned to two NIH Institutes, or Centers (ICs). It supersedes Manual Chapter 4503 dated July 1, 1982.

B. Applicability

This procedure is applicable to all NIH grants programs and, when appropriate, to cooperative agreement applications (hereafter both referred to as grant applications).

C. Background

When the scientific areas and the research or training proposed in a grant application are relevant to the program responsibilities of two ICs, the Referral Section, Referral and Review Branch (RRB), Division of Research Grants (DRG), assigns the application to both ICs. The IC that, in the judgment of the Referral Office, has the more relevant program responsibility is designated as the primary assignee. The other IC that has an interest in the application is designated as the secondary assignee. On occasion, an application may receive a dual assignment for informational or other reasons. For example, an application referred to one IC may be an extension of a research program currently funded by another IC; the focus of a competing renewal application may be such that it now falls within the purview of an IC other than the one originally providing support.

D. References

- 1. NIH Manual Chapter 4502**, Notification to Unsuccessful Applicants and Inactivation of Favorably Recommended but Unfunded Applications.
- 2. NIH Manual Chapter 4513**, Review of NIH Programs and Grant and Cooperative Agreement Applications by National Advisory Councils and Boards.

E. Implementation

1. Changes of assignment prior to council review.

When a primary assignment of an application is to be changed, the IC requesting the change must submit Change Request Form 901 to the Chief, Referral Section, RRB, DRG, signed by referral liaisons and program officials of both ICs, requesting the change in assignment. Secondary assignments can be added or deleted at the request of the secondary IC, using a Change Request Form 901, subject to approval by the Referral Section, RRB, DRG. These changes will be published in the DRG's Resume of Transactions (ROT), which is a continuing list of

administrative changes on grants and pending applications, prepared and distributed by the Information Systems Branch, DRG.

2. Changes of assignment following council review.

The primary and secondary assignee ICs shall advise one another as soon as possible of specific recommendations and comments of their National Advisory Councils or National Advisory Boards, hereafter referred to as Councils, that would affect IC funding decisions on dually assigned applications. Notification of a proposed action should occur within two weeks after Council meetings. It is not necessary to inform ICs of en bloc concurrence with IRG recommendations

Applications Recommended for Further Consideration by Initial Review Groups:

a. Recommendations for Further Consideration by Both Councils

Following the Council meeting and approval of a pay plan, the primary assignee will notify the secondary assignee in writing of the funding status of dually assigned applications. If the primary assignee does not intend to make an award, the secondary assignee must be given the opportunity to do so. If the secondary assignee wishes to fund the application, the primary assignee must be notified. A Change Request Form from the designated IC Referral Liaison of the secondary assignee IC should be submitted to the Referral Branch, DRG, requesting that the application number be changed, and stating the IC's commitment to fund the application during the current round. This Change Request Form must also be signed by the releasing (primary) Referral Liaison.

For Type 1 applications the primary assignee may hold the application in pending status only through the earliest start date following the next Council round, or September 1, whichever occurs first. If the primary assignee does not plan to fund the application by that time, the secondary assignee shall be notified of the opportunity to fund. Such notification must precede initiation of steps to inactivate the application.

If the primary IC wishes to delay the transfer of a Type 2 application to the secondary, pending a final funding decision, the primary IC must provide interim support to avoid a gap in funding.

b. Recommendation for Deferral by Council of Primary Assignee

Immediately following a deferral recommendation by the Council of the primary assignee, that IC shall notify the secondary assignee of its action and reasons for the deferral recommendation. If the primary and secondary assignees agree that the secondary assignee will fund the application, a jointly signed Change Request Form 901 should be sent to the Referral Section, DRG. The secondary assignee shall then communicate its funding plans to the applicant. If, however, both the primary and secondary assignees decide to await further review by the Council of the primary assignee, the primary assignee shall notify the applicant that final action is deferred.